

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 99,226)

In re Application of:

Borella et al.

Serial No.: 09/384,158

Filed: August 27, 1999

For: Method and System for Controlling Attacks  
On Distributed Network Address Translation  
Enabled Networks

Group Art Unit: 2787

Examiner: Not Assigned



TRANSMITTAL LETTER

Asst. Commissioner for Patents  
Washington, D.C. 20231

Sir:

RECEIVED

JAN 3 - 2000

Group 2700

In regard to the above identified application:

1. We are transmitting herewith the attached:
  - a. Information Disclosure Statement (w/ 28 patents & references);
  - b. PTO Form 1449; and
  - c. Postcard.
2. With respect to additional fees:
  - a. ☐ Attached is a check in the amount of \$0.00.
  - b. ☐ Charge the total additional fee to our Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
3. **GENERAL AUTHORIZATION:** Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
4. **CERTIFICATE OF MAILING UNDER 37 CFR § 1.8:** The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231 on this 21<sup>st</sup> day of December, 1999.

By

Sean M. Sullivan  
Reg. No. 40,191

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

(Case No. 99,226)

In re Application of:

Borella et al.

Serial No.: 09/384,158

Filed: August 27, 1999

For: Method and System for Controlling Attacks  
On Distributed Network Address Translation  
Enabled Networks



Group Art Unit: 2787

Examiner: Not Assigned

RECEIVED  
JAN 3 - 2000  
Group 2700

## TRANSMITTAL LETTER

Asst. Commissioner for Patents  
Washington, D.C. 20231

Sir:

In regard to the above identified application:

1. We are transmitting herewith the attached:
  - a: Information Disclosure Statement (w/ 28 patents & references);
  - b: PTO Form 1449; and
  - c: Postcard.
2. With respect to additional fees:
  - a. ☐ Attached is a check in the amount of \$0.00.
  - b. ☐ Charge the total additional fee to our Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
3. **GENERAL AUTHORIZATION:** Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
4. **CERTIFICATE OF MAILING UNDER 37 CFR § 1.8:** The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231 on this 21<sup>st</sup> day of December, 1999.

By

Sean M. Sullivan  
Reg. No. 40,191

**CERTIFICATE OF MAILING**

I hereby certify that this paper and every paper referred to therein as being enclosed is being deposited with the U.S. Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner of Patents & Trademarks, Washington, DC 20231, on December 21, 1999 (Date of Deposit)

Date

Name



**RECEIVED**  
JAN 3 - 2000  
Group 2700

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 99,226)

In re Application of:

Borella et al.

Serial No.: 09/384,158

Filed: August 27, 1999

For: Method and System for Controlling  
Attacks on Distributed Network  
Address Translation Enabled  
Networks

)  
)  
) Group Art Unit: 2787  
)  
) Examiner: Not Assigned  
)  
)  
)  
)  
)  
)  
)

Asst. Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In order to comply with discretionary regulations 37 CFR 1.97 and 1.98, attached hereto is Form PTO-1449, and copies<sup>1</sup> of the documents listed thereon. These documents contain

---

<sup>1</sup>To the extent that a document is listed and no copy of same is attached, then such document is not at the present time available to the undersigned or is available in the file of a parent application. If a listed document is not in the English language and an English translation is readily available, such translation is also attached; if translation is not attached it is not readily available to the undersigned. If a foreign language patent document is cited, and an English language equivalent is known to the undersigned, then such equivalent patent is also cited on the attached form along with the corresponding foreign language patent and a connecting arrow indicated therebetween; if no such English language equivalent is cited, then none is known to the undersigned.

information which the Examiner may consider to be important in deciding whether to allow the present application to issue as a patent.

1. Boyle et al., U.S. Patent No. 5,872,847, issued February 16, 1999.
2. Schmidt et al., U.S. Patent No. 5,867,660, issued February 2, 1999.
3. Rodwin et al., U.S. Patent No. 5,812,819, issued September 22, 1998.
4. Mayes et al., U.S. Patent No. 5,793,763, issued October 11, 1998.
5. Toth et al., U.S. Patent No. 5,708,655, issued January 13, 1998.
6. Fox et al., U.S. Patent No. 5,636,218, issued June 3, 1997.
7. Gelb, U.S. Patent No. 5,550,984, issued August 27, 1996.
8. Vacon et al., U.S. Patent No. 5,227,778, issued July 13, 1993.
9. Perkins, U.S. Patent No. 5,159,592, issued October 27, 1992.
10. G. Montene, Internet Engineering Task Force, Internet Draft, "Negotiated Address Reuse" (NAR), <draft-montenegro-aatn-nar-00.txt>, May 1998, Pgs. 1 to 22.
11. George Tsirtsis, Alan O'Neill, Internet Engineering Task Force, Internet Draft, "NAT Bypass for End 2 End 'Sensitive' Applications," <draft-tsirtsis-nat-bypass-00.txt>, January 1998, Pgs. 1 to 5.
12. George Tsirtsis, Pyda Srishuresh, Internet Engineering Task Force, Internet Draft, "Network Address Translation - Protocol Translation" (NAT-PT), <draft-ietf-ngtrans-natpt-04.txt>," January 1999, Pgs. 1 to 13.
13. Jeffrey Lo, K. Taniguchi, Internet Engineering Task Force, Internet Draft, "IP Host Network Address (and port) Translation," <draft-ietf-nat-hnat-00.txt>, November 1998, Pgs. 1 to 13.
14. Michael Borella, David Grabelsky, Ikhlaz Sidhu, Brian Petry, Internet Engineering Task Force, Internet Draft, "Distributed Network Address Translation," <draft-borella-aatn-dnat-01.txt>," October 1998, Pgs. 1 to 21.
15. P. Srisuresh, G. Tsirtsis, P. Akkiraju, A. Heffernan, Internet Engineering Task Force, Internet Draft, "DNS Extensions to Network Address Translators" (DNS\_ALG), <draft-ietf-nat-dns-alg-01.txt>, October 1998, Pgs. 1 to 24.

16. P. Srisuresh, Internet Engineering Task Force, Internet Draft "Security for IP Network Address Translator (NAT) Domains," <draft-ietf-nat-security-00.txt>, November 1998, Pgs. 1 to 11.
17. P. Srisuresh, K. Eg, Internet Engineering Task Force, Internet Draft, "The IP Network Address Translator" (NAT), <draft-rfcd-info-srisuresh-05.txt>, February 1998, Pgs. 1 to 24.
18. P. Srisuresh, K. Egev, Internet Engineering Task Force, Internet Draft, "Traditional IP Network Address Translator (Traditional NAT)," <draft-ietf-nat-traditional-01.txt>, October 1998, Pgs. 1 to 17.
19. P. Srisuresh, Matt Holdrege, Internet Engineering Task Force, Internet Draft, "IP Network Address Translator (NAT) Terminology and Considerations," <draft-ietf-nat-terminology-01.txt>, October 1998, Pgs. 1 to 28.
20. Praveen Akkiraju, Yakov Rekhter, Internet Engineering Task Force, Internet Draft, "A Multihoming Solution Using NATs" <draft-akkiraju-nat-multihoming-00.txt>, November 1998, Pgs. 1 to 32.
21. R. G. Moskowitz, Internet Engineering Task Force, Internet Draft, "Network Address Translation Issues with Ipsec," <draft-moskowitz-net66-vpn-00.txt>, February 6, 1998, Pg. 1 to 8.
22. R. Thay, N. Doraswa and R. Gle, Internet Engineering Task Force, Internet Draft "IP Security," <draft-ietf-ipsec-doc-roadmap-02.txt>, November 1997, Pgs. 1 to 12.
23. T. Hain, Internet Engineering Task Force, Internet Draft, "Architectural Implications of NAT," <draft-iab-nat-implications-02.txt>, October 1998, Pgs. 1 to 14.
24. W.T. Teo, S.W. Yeow, R. Singh, Internet Engineering Task Force, Internet Draft, "IP Relocation Through Twice Network Address Translators," <draft-ietf-nat-rnat-00.txt>," February 1999, Pgs. 1 to 20.
25. W.T. Teo, S.W. Yeow, R. Singh, Internet Engineering Task Force, Internet Draft, "Reverse Twice Network Address Translators" (RAT)," <draft-teoyeow-mip-rat-01.txt>," December 1998, Pgs. 1 to 20.
26. W.T. Teo, Y. Li, Internet Engineering Task Force, Internet Draft, "Mobile IP Extension for Private Internets Support," <draft-teoyli-mobileip-mvpn-02.txt>, February 1999, Pgs. 1 to 24.
27. Yakov Rekhter, Internet Engineering Task Force, Internet Draft, "Implications of NATs on the TCP/IP Architecture," <draft-ietf-nat-arch-implications-00.txt>, February 1999, Pgs. 1 to 7.

28. K. Egevang, and P. Francis, Internet Engineering Task Force, ("IETF"), Request for Comments ("RFC") RFC-1631, "The IP Network Address Translator (NAT)", May 1994, Pages 1 – 10.

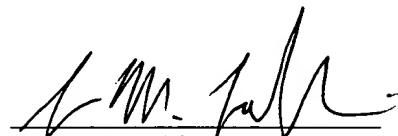
In accordance with MPEP Sections 609 and 707.05(b), it is requested that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO-1449. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Disclosure Statement is being submitted in compliance with 37 CFR 1.56 insofar as an Examiner might consider any of the cited documents important in deciding whether to allow the application to issue as a patent, but the citation of each document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: December 21, 1999

  
Sean M. Sullivan  
Reg. No. 40,191

McDONNEL BOEHNEN HULBERT & BERGHOFF  
300 South Wacker Drive, Suite 3200  
Chicago, Illinois 60606  
Telephone No. 312/913-0001; Facsimile No. 312/913-0002